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Approved for use through 10/31/2002 OMB 0651-0032

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UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 9-13528-168US
 First Inventor David W. PARK
 Title CONTROL SYSTEM FOR AN AGILE OPTICAL NETWORK
 Express Mail Label No.

 1578 U.S. PAT.
 09/14/01
 10/12/01


APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)
 (Submit an original and a duplicate for fee processing.)
2. ☐ Applicant claims small entity status.
 See 37 CFR 1.27.
3. ☒ Specification [Total Pages 33]
 (preferred arrangement set forth below)
 - Descriptive title of the invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table,
 or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 4]
5. Oath or Declaration [Total Pages 1]
 a. ☒ Newly executed (original or copy)
 Copy from a prior application (37 CFR 1.63 (d))
 (for continuation/divisional with Box 18 completed)
 b. ☐ **DELETION OF INVENTOR(S)**
 Signed statement attached deleting inventor(s)
 named in the prior application, see 37 CFR
 1.63(c)(2) and 1.33(a).
6. ☒ Application Data Sheet. See 37 CFR 1.76

ADDRESS TO: Assistant Commissioner for Patents
 Box Patent Application
 Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or
 Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission
 (if applicable, all necessary)
 a. ☐ Computer Readable Form (CRF)
 b. Specification Sequence Listing on:
 i. ☐ CD-ROM or CD-R (2 copies); or
 ii. ☐ paper
 c. ☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. ☒ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement (when there is an assignee) ☒ Power of Attorney
11. ☐ English Translation Document (if applicable)
12. ☒ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)
 (Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)
 (if foreign priority is claimed)
16. ☐ Request and Certification under 35 U.S.C. 122
 (b)(2)(B)(i). Applicant must attach form PTO/SB/35
 or its equivalent.
17. ☒ Other: Cover letter; cheque;

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No. _____
 Prior application information: Examiner _____ Group Art Unit: _____

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label 020988 or ☐ Correspondence address below

Name Swabey Ogilvy Renault

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City State Zip Code

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Name (Print/Type) Max R. Wood Registration No. (Attorney/Agent) 40,388

Signature Date 10/11/2001

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

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FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision

TOTAL AMOUNT OF PAYMENT (\$) 978.00

Complete If Known

Application Number
Filing Date
First Named Inventor David W. PARK
Examiner Name
Group Art Unit
Attorney Docket No. 9-13528-168US

METHOD OF PAYMENT

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:
- Deposit Account Number 19-5113
Deposit Account Name SWABEY OGILVY RENAULT
- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17
☐ Applicant claims small entity status. See 37 CFR 1.27
2. ☒ Payment Enclosed:
☒ Check ☐ Credit card ☐ Money Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

Large Entity	Small Entity	Fee	Fee	Fee	Fee Description	Fee Paid
Code (\$)	Code (\$)					
101	740	201	370		Utility filing fee	740.00
106	330	206	165		Design filing fee	
107	510	207	255		Plant filing fee	
108	740	208	370		Reissue filing fee	
114	160	214	80		Provisional filing fee	
SUBTOTAL (1) (\$)						740.00

2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
31	-20** = 11	X 18	198.00
3	-3** = -	X	-
Multiple Dependent			
SUBTOTAL (2) (\$)			

Large Entity	Small Entity	Fee	Fee	Fee	Fee Description
Code (\$)	Code (\$)				
103	18	203	9		Claims in excess of 20
102	84	202	42		Independent claims in excess of 3
104	280	204	140		Multiple dependent claim, if not paid over original patent
109	84	209	42		** Reissue independent claims
110	18	210	9		** Reissue claims in excess of 20 and over original patent

FEE CALCULATION (continued)

Large Entity	Small Entity	Fee	Fee	Fee	Fee Description	Fee Paid
Code (\$)	Code (\$)					
105	130	205	65		Surcharge - late filing fee or oath	
127	50	227	25		Surcharge - late provisional filing fee or cover sheet	
139	130	139	130		Non-English specification	
147	2,520	147	2,520		For filing a request for ex parte reexamination	
112	920*	112	920*		Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*		Requesting publication of SIR after Examiner action	
115	110	215	55		Extension for reply within first month	
116	400	216	200		Extension for reply within second month	
117	920	217	460		Extension for reply within third month	
118	1,440	218	720		Extension for reply within fourth month	
128	1,960	228	980		Extension for reply within fifth month	
119	320	219	160		Notice of Appeal	
120	320	220	160		Filing a brief in support of an appeal	
121	280	221	140		Request for oral hearing	
138	1,510	138	1,510		Petition to institute a public use proceeding	
140	110	240	55		Petition to revive - unavoidable	
141	1,280	241	640		Petition to revive - unintentional	
142	1,280	242	640		Utility issue fee (or reissue)	
143	460	243	230		Design issue fee	
144	620	244	310		Plant issue fee	
122	130	122	130		Petitions to the Commissioner	
123	50	123	50		Processing fee under 37 CFR 1.17(c)	
126	180	126	180		Submission of Information Disclosure Stmt	
581	40	581	40		Recording each patent assignment per property (times number of properties)	40.00
146	740	246	370		Filing a submission after final rejection (37 CFR § 1.129(a))	
149	740	249	370		For each additional invention to be examined (37 CFR § 1.129(b))	
179	740	279	370		Request for Continued Examination (RCE)	
169	900	169	900		Request for expedited examination of a design application	
Other fee (specify)						
SUBTOTAL (3) (\$)						40.00

*for number previously paid, if greater, For Reissues, see above

*Reduced by Basic Filing Fee Paid

SUBMITTED BY

Name (Print/Type) Max R. Wood
Signature

Registration No. (Attorney/Agent) 40,388

Complete If Applicable

Telephone 613-230-6072
Date 10/11/2001

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

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**SWABEY
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PATENT & TRADE-MARK AGENTS

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October 11, 2001

Assistant Commissioner for Patents
Washington, D.C. 20231
U.S.A.

Sir:

Re: New United States Patent Application
Title: CONTROL SYSTEM FOR AN AGILE
OPTICAL NETWORK
Inventor(s): David W. PARK et al.
Assignee: Nortel Networks Limited
Our File: 9-13528-68US MRW

Transmitted herewith for filing is the patent application of:

INVENTORS: David W. PARK
Lisa M. GAEN
Gerard L. SWINKELS

TITLE OF THE INVENTION:

CONTROL SYSTEM FOR AN AGILE OPTICAL NETWORK

The following documents are enclosed:

- a) Utility Patent Application Transmittal PTO/SB/05